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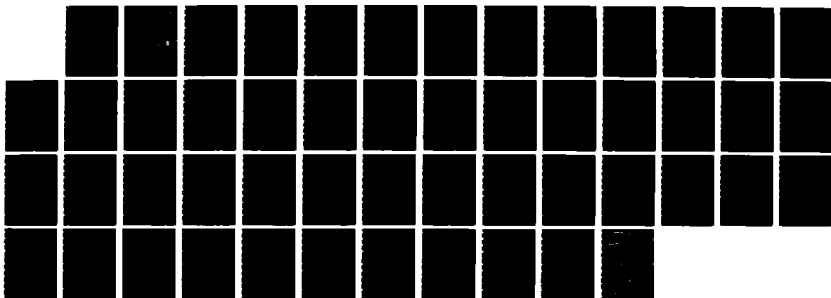
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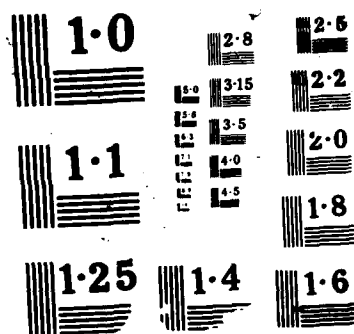
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## Optical Gain, Phase Shift and Profile in Free-Electron Lasers

B. Hafizi

*Science Applications International Corporation  
McLean, VA 22102*

P. Sprangle

*Plasma Theory Branch  
Plasma Physics Division*

A. Ting

*Berkeley Research Assoc., Inc.  
Springfield, VA 22150*

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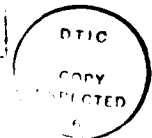
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# OPTICAL GAIN, PHASE SHIFT AND PROFILE IN FREE-ELECTRON LASERS

## I. Introduction

A well-known feature of the free-electron laser (FEL) is that the refractive index of the medium is a complex function and hence the radiation is amplified and to some extent focused in the vicinity of the electron beam.<sup>1,2</sup> It may then be possible for the electron and radiation beams to interact over an extended length along the wiggler, with the diffractive tendency being compensated by the FEL interaction, thereby enhancing the efficiency of the process.

Considerable progress has been made in studying this process by several authors.<sup>3-8</sup> The purpose of this paper is to apply the formalism of the Gaussian-Laguerre modal source dependent expansion (SDE) of Ref. 8 to examine the propagation and guiding of the optical wave in an amplifier operating in the exponential gain regime, for a variety of operating conditions.

The plan of this paper is as follows. In Section II the formalism of the SDE is employed to obtain the evolution equations for the radius and the curvature for the lowest order mode of the optical beam, along with the relevant dispersion relation for a Gaussian electron beam driving an FEL amplifier in the small signal regime. In Section III numerical solutions of the single-mode equation for the radius of the optical beam are presented and compared to the result from a multi-mode truncation of the radiation field. In this case, and for cases not presented herein, the single-mode and multi-mode results indicate that the radiation beam profile entering the wiggler asymptotes to a unique form after an initial

transient. Additionally, the numerical values of the radius of the radiation envelope and of the wavefront curvature are in fair agreement, irrespective of the degree of mode truncation, indicating the usefulness of the single-mode equations. Limiting ourselves to these equations, the electron beam is then allowed to oscillate at the betatron wavelength and the resulting radiation profile examined. It is found that the optical beam envelope follows that of the electrons with almost identical wavelength, but retarded in phase. Section IV discusses the results, deriving formulae for the matched radiation beam profile (i.e., radius and curvature) in terms of the electron beam and wiggler parameters. It is shown analytically that perturbations of the profile are spatially damped out, consistent with the numerical observations indicating a unique, asymptotic matched radius and curvature. Appendix A presents the necessary details required to derive the source term, for the wave equation, for a planar wiggler and an electron beam with uniform density along the direction of propagation. Appendix B considers the effect of the modulation of the electron beam on the optical wave. Specifically, a simple analysis, taking into account sideband generation, indicates that the dispersion characteristics of the primary wave are only slightly modified for typical experimental parameters. Appendix C presents the details of the stability calculation.

## II. Mathematical Formulation

The purpose of the present section is to present the salient features of the source dependent expansion method<sup>8</sup> so as to fix the notation and for reference in the subsequent sections.

For a planar wiggler, it is appropriate to assume a linearly polarized radiation vector potential

$$\underline{A} = (1/2) A(r, \theta, z) \exp \left[ i \left( \frac{\omega z}{c} - \omega t \right) \right] \underline{e}_x + \text{c.c.},$$

with angular frequency  $\omega$  and complex amplitude  $A$ . In the slowly varying envelope approximation, the wave equation reduces to

$$\left( \frac{1}{r} \frac{\partial}{\partial r} r \frac{\partial}{\partial r} + \frac{1}{r^2} \frac{\partial^2}{\partial \theta^2} + \frac{2i\omega}{c} \frac{\partial}{\partial z} \right) a = S(r, \theta, z), \quad (1)$$

where  $a = |e|A/m_0 c^2$ , and the source function is given by

$$S(r, \theta, z) = - \frac{8\pi |e|}{m_0 c^3} \left\{ J_x(r, \theta, z) \exp \left[ -i \left( \frac{\omega z}{c} - \omega t \right) \right] \right\}_{\text{slow}}. \quad (2)$$

Here  $e$  is the charge on an electron of (rest) mass  $m_0$ ,  $J_x(r, \theta, z)$  is the current density and  $\{ \}_{\text{slow}}$  indicates that only the spatially and temporally slow part of the quantity in braces is to be retained.

The basic premise of the work presented herein is that the radiation field is azimuthally symmetric and the vector potential is expressible as:

$$a(r, \theta, z) = \sum_{m=0}^{\infty} a_m(z) D_m(\xi, z), \quad (3)$$

with  $D_m = L_m(\xi) \exp \{-[1-i\alpha(z)]\xi/2\}$ , where  $\xi = 2r^2/r_s^2(z)$ ,  $r_s(z)$  is related to the radiation spot size,  $\alpha(z)$  is proportional to the curvature of the wavefront, and  $L_m(\xi)$  is the Laguerre polynomial of order  $m$ .

Now, if the transverse profile of the radiation beam is close to a Gaussian, the lowest order mode is expected to dominate<sup>3,5,7,8</sup>, and, following Ref. 8, it is simple to show that the associated vector potential evolves according to

$$\left( \frac{\partial}{\partial z} + A_0 \right) a_0 = -i F_0, \quad (4)$$

and the spot size and wavefront curvature evolve via



$$\frac{d}{dz} r_s - \frac{2c\alpha}{\omega r_s} = -r_s \left( \frac{F_1}{a_0} \right)_I, \quad (5a)$$

$$\frac{d}{dz} \alpha - 2(1+\alpha^2) \frac{c}{\omega r_s^2} = 2 \left[ \left( \frac{F_1}{a_0} \right)_R - \alpha \left( \frac{F_1}{a_0} \right)_I \right], \quad (5b)$$

where

$$A_0 = \frac{1}{r_s} \frac{d}{dz} r_s + i \left[ (1+\alpha^2) \frac{c}{\omega r_s^2} - \frac{\alpha}{r_s} \frac{d}{dz} r_s + \frac{1}{2} \frac{d}{dz} \alpha \right],$$

the F's are given by the following overlap integral:

$$F_m(z) = \frac{c}{2\omega} \int_0^\infty d\xi S(\xi, z) D_m^*(\xi, z), \quad (6)$$

and the label R (I) indicates the real (imaginary) part.

Noting that  $L_0(\xi) = 1$ , the normalized vector potential is seen to be given by [Eq. (3)]

$$a(r, \theta, z) \approx a_0(z) \exp \left\{ -[1-i\alpha(z)] \frac{r^2}{r_s^2(z)} \right\}, \quad (7)$$

where, in the exponential gain, small-signal regime,

$$a_0(z) \approx a(0) \exp \left\{ i \int_0^z dz_1 \left[ \Delta k(z_1) - i\Gamma(z_1) \right] \right\}. \quad (8)$$

Here  $a(0)$  is the input signal at  $z = 0$ , and the two components of the refractive index are given by

$$n_z = \left[ 1 + \frac{c\Delta k}{\omega} \right] - i \frac{c}{\omega} \left( \Gamma - r^2 \frac{\partial}{\partial z} \frac{1-i\alpha}{r_s^2} \right) \quad (9a)$$

$$n_r = \frac{2cr}{\omega r_s^2} (\alpha + i). \quad (9b)$$

Assuming the electron beam profile to be given by

$$n_b(z) = n_{bo} \left[ \frac{r_{bo}}{r_b(z)} \right]^2 \exp \left[ - \frac{r^2}{r_b^2(z)} \right], \quad (10)$$

where  $r_b(z)$  is the electron beam radius at  $z$  and  $n_{bo}$  is the beam density at  $r_b(z) = r_{bo}$ , the source term in Eq. (1) may be readily evaluated (Appendix A), to obtain

$$S(r, z) = f_B^2 \frac{\omega_{bo}^2}{2\gamma^3 c^2} \left[ \frac{r_{bo}}{r_b(z)} \right]^2 \exp \left( - \frac{r^2}{r_b^2(z)} \right) \frac{\omega k_w a_w^2}{c(\Delta k - i\Gamma)^2}, \quad (11)$$

where the vector potential of the planar wiggler of periodicity  $2\pi/k_w$  is given by

$$\underline{A}_w = A_w \cos(k_w z) \underline{e}_x, \quad (12)$$

$$a_w = |e| A_w / m_o c^2, \quad (13)$$

$\gamma$  is the relativistic mass factor,  $f_B$  is the usual difference of Bessel functions,  $f_B = J_0(\zeta) - J_1(\zeta)$ ,  $\zeta = (1/4)a_w^2/[1 + (1/2)a_w^2]$ , and

$$\omega_{bo} = \left( 4\pi |e|^2 n_{bo} / m_o \right)^{1/2}$$

is the plasma frequency of the electron beam with density  $n_{bo}$ .

Substituting Eqs. (8) and (11) into Eq. (6) and making use of Eqs. (4) and (5), it is simple to show that the equations reduce to

$$\frac{d\alpha}{d(k_w z)} = 2(1+\alpha^2) \left( \frac{ck_w}{\omega} \right) \frac{1}{(k_w r_s)^2} + 2 \left[ \left( \frac{F_1}{k_w a_o} \right)_R - \alpha \left( \frac{F_1}{k_w a_o} \right)_I \right], \quad (14a)$$

$$\frac{d \left( \frac{k_w r_s}{k_w z} \right)^2}{d(k_w z)} = 4\alpha \left( \frac{ck_w}{\omega} \right) - 2 \left( \frac{F_1}{k_w a_o} \right)_I (k_w r_s)^2, \quad (14b)$$

$$\frac{\Delta k}{k_w} - i \frac{\Gamma}{k_w} + 2 \left( \frac{ck_w}{\omega} \right) \frac{1-i\alpha}{(k_w r_s)^2} + 2 \left( \frac{F_1}{k_w a_o} \right) \left[ 1 + \left( \frac{r_b}{r_s} \right)^2 \right] = 0, \quad (14c)$$

where

$$\frac{F_1}{k_w a_o} = f_B^2 \left( \frac{\omega_{bo}}{ck_w} \right)^2 \left[ \frac{r_{bo}}{r_b(z)} \right]^2 \frac{a_w^2}{2\gamma^3} \frac{(r_b/r_s)^2}{[1+2(r_b/r_s)^2]^2} \left( \frac{\Delta k}{k_w} - i \frac{\Gamma}{k_w} \right)^{-2}. \quad (14d)$$

The spatial evolution of the system is governed by the differential system (14a) and (14b) along with the dispersion relation (14c), the solution of which yields  $\alpha(z)$ ,  $r_s(z)$ ,  $\Delta k(z)$  and  $\Gamma(z)$ .

### III. Numerical Results

Having obtained the single mode system of Eqs. (14), it is of interest to determine the extent to which it approximates the general solution in (3). Once it is established that Eqs. (14) provide an adequate representation of the general solution, it is then possible to study a variety of problems of interest by solving a simple set of equations.

Briefly, the numerical procedure for solving an initial-value problem is the following. Substituting Eq. (14d) into Eq. (14c) yields a cubic (algebraic) equation for  $\Delta k - i\Gamma$  which may be solved, at each  $z$ , in terms of  $r_s(z)$ ,  $\alpha(z)$  and  $r_b(z)$ , thus enabling Eqs. (14a) and (14b) to be stepped forward in  $z$ . Since in the absence of source terms an input radiation signal diffracts away on the scale length defined by the Rayleigh range  $z_R$ ,

$$z_R = \frac{\omega r_s^2(z)}{2c} \Big|_{z=0}, \quad (15)$$

it is informative to present the numerical results with the distance along the wiggler measured in units of the Rayleigh range. In all the numerical results to be presented, the radiation field is assumed to be in the form of plane waves at the entrance to the wiggler, i.e.,  $\alpha(z=0) = 0$ .

### Case I

To begin with, Fig. 1 shows the results for the following parameters: beam current,  $I_b = 270$  A,  $r_{b0} = 0.01$  cm,  $\gamma = 2000$ ,  $2\pi/k_w = 10$  cm,  $a_w = 6.15$  and  $r_s(z=0) = 0.02$  cm. Noting the factor of  $2^{1/2}$  difference between the definition of  $a_w$  in Eq. (13) and that in Ref. 4, it is clear from Fig. 1(a) that after a transient oscillation over a distance of about 20 Rayleigh ranges, the radiation spot size approaches a value quite close to that obtained with the two-dimensional FEL code FRED at the Lawrence Livermore National Laboratory (LLNL).<sup>4</sup> We also find that for all the numerical cases examined, a unique, asymptotic spot size is obtained irrespective of the initial optical waist. Figure 1(b) shows the spatial evolution of  $\alpha$ , indicating that it, too, approaches a constant value after an initial transient behavior.

The solid curve in Fig. 2 shows the evolution of  $1/e$  width of the radiation amplitude with a five mode ( $m=0,1,2,3,4$ ) source dependent expansion calculation using the same set of FEL parameters. The radiation field is represented by Eq. (3) and the source term is given by Eq. (11). With the assumption that the fundamental mode dominates, only the  $\Delta k$  and  $\Gamma$  of  $a_0(r,z)$  are involved in the source function and they are obtained from Eqs. (14c) and (14d). It is found that the fundamental mode remains dominant over many Rayleigh lengths. For comparison the dashed curve in Fig. 2 shows the fundamental mode spot size of Fig. 1(a), and the asymptotic results are seen to differ by about 10%. This suggests that the

single-mode system of Eqs. (14) may be regarded as a reasonably accurate simplification of Eq. (3). Henceforth the results presented pertain to Eqs. (14).

## Case II

Figure 3 presents the results for a case where the electron beam is not matched; i.e., the envelope of the electron beam is modulated:

$$r_b(z) = r_{b0} + \delta r_b \sin(k_\beta z), \quad (16)$$

where  $\delta r_b$  is the amplitude of the modulation and for simplicity  $k_\beta$  is chosen to be equal to the betatron wave number<sup>9</sup>  $k_w a_w / (\sqrt{2} \gamma \beta_z)$ , neglecting self-fields.<sup>10</sup>  $\beta_z$  is the beam speed along the wiggler axis normalized to c. The parameters, typical of the Advanced Test Accelerator experiment at LLNL, are  $I_b = 2$  kA,  $r_{b0} = 0.3$  cm,  $\gamma = 100$ ,  $2\pi/k_w = 8$  cm,  $a_w = 1.72$ ,  $r_s(z=0) = 0.35$  cm. (The reader is referred to Refs. 9 and 11 for details.) In Fig. 3, where  $\delta r_b/r_{b0} = 0.1$ , it is observed that the optical spot size follows the modulations in the electron envelope apparently identically. Specifically, a number of cases were examined with  $\delta r_b/r_{b0}$  up to 0.4. In all cases the electron and optical beams oscillate with almost identical wavelength, although the radiation beam appears to lag behind in phase. Defining the modulation depth  $\Delta = [(r)_{\max} - (r)_{\min}] / [(r)_{\max} + (r)_{\min}]$ , it is found from Fig. 3(a) that  $\Delta_s = 0.087$  whereas, from Eq. (16),  $\Delta_b = \delta r_b/r_{b0} = 0.1$ . Although the modulation depth of the electron beam differs from that of the radiation beam, it is found that  $\Delta_s$  increases with  $\delta r_b$ .

More generally, allowing for the defocusing effect of self-fields, there is always the possibility of a small amplitude ripple on the electron beam envelope and hence on the radiation beam envelope. In Appendix B,

generation of sidebands is considered in a simplified model and found to have, for typical cases, an insignificant effect on the linear dispersion characteristics of the primary optical wave, as implicitly assumed by employing the source term in Eq. (11) in the present case.

#### IV. Analysis of Results

One interesting feature of the numerical results is that in all cases the radiation spot size has a unique, asymptotic limit irrespective of the initial value. The asymptotic value of  $r_s$  and of  $\alpha$  is determined by the fixed points of Eqs. (14a) and (14b); i.e., at the fixed point

$$2(1+\alpha^2) \frac{ck_w}{\omega} \frac{1}{(k_w r_s)^2} + 2 \left[ \left( \frac{F_1}{k_w a_o} \right)_R - \alpha \left( \frac{F_1}{k_w a_o} \right)_I \right] = 0, \quad (17a)$$

$$4\alpha \frac{ck_w}{\omega} - 2 \left( \frac{F_1}{k_w a_o} \right)_I (k_w r_s)^2 = 0. \quad (17b)$$

Combining Eqs. (17a) and (17b) one obtains

$$(1 - i\alpha)^2 \frac{ck_w}{\omega} + (k_w r_s)^2 \left( \frac{F_1}{k_w a_o} \right) = 0,$$

which, upon making use of Eq. (14d), yields

$$\Delta k = \frac{k_w^2 r_b \eta^{1/2}}{1+2f} \frac{\alpha}{1+\alpha^2}, \quad \Gamma = \Delta k / \alpha,$$

where

$$\eta = f_B^2 \left( \frac{\omega}{ck_w} \right) \left( \frac{\omega_{bo}}{ck_w} \right)^2 \left( \frac{r_{bo}}{r_b} \right)^2 \frac{a_w^2}{2\gamma^3},$$

and  $f = (r_b/r_s)^2$  is the filling factor. Substituting the expressions for  $\Delta k$  and  $\Gamma$  into the dispersion relation (14c), one obtains

$$\alpha = [f/(3f + 2)]^{1/2},$$

$$r_s = \frac{(\gamma/v)^{1/4}}{2^{3/4} k_w \gamma f_B^{1/2}} \frac{(1+a_w^2/2)^{3/4}}{a_w^{1/2}} \frac{f^{1/4} (1+2f)^{3/2}}{(1+3f/2)^{3/4}},$$

where  $v = (\omega_{bo} r_{bo}/2c)^2$  is Budker's parameter. These expressions may be used to obtain the asymptotic spot size for a given filling factor, and then one obtains the corresponding electron beam radius via  $r_b = r_s f^{1/2}$ . To avoid complications arising at the outer edges of the optical beam, where the field amplitude is small, typically a filling factor  $f \lesssim 1/2$  is appropriate. It is also possible to rearrange the expression for  $r_s$  to obtain

$$f^3 + f^2 + \left(\frac{1}{4} - \frac{3}{2} q\right) f - q = 0,$$

where

$$q = \left[ a_w^2 \left( \frac{2f_B^2}{\gamma/v} \right) \left( \frac{\gamma r_b k_w}{2} \right)^4 \right]^{1/3} \frac{1}{1+a_w^2/2}.$$

The cubic equation for  $f$  may be solved to obtain an explicit expression for  $r_s$ . Noting that the sum and the product of the three roots of the cubic equal  $-1$  and  $q$ , respectively, it follows that there is a unique, real value for the asymptotic spot size  $r_s$ .

To examine stability, it is convenient to define

$$\gamma \equiv \frac{\Delta k}{k_w} - i \frac{\Gamma}{k_w},$$

and substitute Eq. (14d) into Eq. (14c) to obtain the local dispersion relation:

$$Y^3 + 2 \left( \frac{ck_w}{\omega} \right) \frac{1-i\alpha}{(k_w r_s)^2} Y^2 = - 2 \frac{ck_w}{\omega} \eta \left( \frac{r_b}{r_s} \right)^2 \frac{1+(r_b/r_s)^2}{[1+2(r_b/r_s)^2]^2}, \quad (18)$$

which may be solved iteratively. It turns out that for the parameters of Case I, at the lowest order, the right-hand side balances the quadratic term on the left. The relevant root, with  $\Delta k, \Gamma > 0$ , may be substituted into Eq. (14d) to obtain, for  $\alpha > 0$ ,

$$\begin{aligned} \frac{F_1}{k_w a_0} &\approx \frac{-ck_w}{\omega} \frac{1-i\alpha}{(k_w r_s)^2 + (k_w r_b)^2} - \frac{1}{2} \left[ \frac{\eta}{2(1+\alpha^2)} \right]^{1/2} \frac{\alpha-i [1+(1+\alpha^2)^{1/2}]}{[1+(1+\alpha^2)^{1/2}]^{1/2}} \\ &\cdot \frac{(k_w r_s)^2}{(k_w r_s)^2 + 2(k_w r_b)^2} \frac{(k_w r_s)(k_w r_b)}{[(k_w r_s)^2 + (k_w r_b)^2]^{1/2}}. \end{aligned} \quad (19)$$

Perturbing Eqs. (14a) and (14b) about the fixed point and making use of Eq. (19), it is simple to show that the perturbation is spatially damped, thus indicating the stability of the fixed point. The algebraic details are relegated to Appendix C.

Another aspect of the results which is of interest pertains to the nature of the phase fronts and the flux of optical power in the asymptotic region. From Eqs. (7) and (8) it is simple to check that, in differential form, the surfaces of constant phase are given by  $(\omega/c + \Delta k)\delta z + (2\alpha/r_s^2)\delta r = 0$ , and hence, noting that  $\Delta k, \alpha > 0$ , the wavefronts are divergent in the direction of propagation. Consistent with this, there is a nonvanishing transverse component of the Poynting flux. Specifically, for  $r/r_s \leq 1$  the ratio of flux of optical energy in the transverse direction to that along the  $z$  axis is  $\sim \alpha r/k r_s^2 \ll 1$ .



## V. Conclusion

Based on the results presented herein, the simplicity and accuracy of the single-mode Gaussian-Laguerre approximation to the solution of Maxwell's equations has been demonstrated. It is shown that, in the exponential gain regime of operation of an FEL amplifier, there is a unique, asymptotic spot size for the radiation beam irrespective of that at the entrance of the wiggler. There is, however, a transverse flux of optical power. It is shown analytically that the asymptotic profile (i.e., the radius and the curvature at large  $z$ ) is stable to small amplitude perturbations. With a spatially modulated electron beam envelope, that of the optical beam is found to oscillate on the same spatial scale.

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## Appendix A: Source Term

In this appendix, the details of the evaluation of the source term  $S$  in Eq. (11) are presented.

The FEL source current,  $J_x(r, \theta, z)$ , in a linear wiggler is given by

$$\begin{aligned} J_x(r, \theta, z) &= -|e| \delta n_b(r, \theta, z) v_x \\ &= \frac{-|e|^2 \delta n_b e^{-ik_w z}}{2\gamma m_0 c} A_w + \text{c.c.} \end{aligned}$$

where  $\delta n_b$  is the perturbed beam density and the relation  $v_x \approx v_w = |e| A_w \cos(k_w z)/\gamma m_0 c$  has been used. Equation (2) can then be written as

$$S(r, \theta, z) = \left\{ \frac{4\pi |e|^2 \delta n_b a_w}{\gamma m_0 c^2} e^{-i[(k + k_w)z - \omega t]} \right\}_{\text{slow}} \quad (\text{A1})$$

where  $k = \omega/c$ .

The perturbed beam density can be evaluated from the continuity equation,

$$\frac{d\delta n_b}{dt} = -n_b \frac{\partial \delta v_z}{\partial z}, \quad (\text{A2})$$

and the equation of motion in the  $z$ -direction,

$$\frac{dv_z}{dt} = -\frac{|e|}{\gamma m_0} \left[ \frac{v_x B_y}{c} - \frac{v_z (v_x E_x)}{c^2} \right] \quad (\text{A3})$$

where electron self-field effects are neglected. Taking the convective time derivative of Eq. (A2), and incorporating the linearized version of Eq. (A3), one can arrive at the following equation for the perturbed beam density,

$$\frac{d^2 \delta n_b}{dt^2} = - \frac{|e| n_b}{\gamma m_0} \frac{\partial}{\partial z} \left( \frac{\partial}{\partial z} + \frac{v_z}{c} \frac{\partial}{\partial t} \right) \Phi_{\text{pond}} \quad (\text{A4})$$

where

$$\Phi_{\text{pond}} = - \frac{|e| A_w A}{4 \gamma m_0 c^2} e^{i \left[ (k + k_w) z - \omega t \right]} + \text{c.c.}$$

With the assumption that  $A(r, \theta, z)$  is a slowly varying function of  $z$ , i.e.,  $|\partial \ln A / \partial z| \ll k_w \ll k$ , Eq. (A4) becomes

$$\frac{d^2 \delta n_b}{dt^2} = \frac{|e|^2 n_b A_w A}{2 \gamma m_0^2 c^2} k_w k e^{i \left[ (k + k_w) z - \omega t \right]} + \text{c.c.} \quad (\text{A5})$$

where the resonance condition,  $\omega = v_z (k + k_w)$  is used.

For a near Gaussian radiation field in the exponential gain regime,

$$A(r, \theta, z) \approx A_0(r, \theta, z) = A_0(0) \exp \left\{ i \int_0^z [\Delta k(z_1) - i \Gamma(z_1)] dz_1 - [1 - i \alpha(z)] \frac{r^2}{r_s^2(z)} \right\}$$

and assuming  $\Delta k$ ,  $\Gamma$ ,  $\alpha$  and  $r_s$  are slowly varying functions of  $z$ , Eq. (A5) can be integrated immediately to give

$$\delta n_b = \frac{|e|^2 n_b A_w A k k_w}{2 \gamma m_0^2 c^4 (\Delta k - i \Gamma)^2} e^{i \left[ (k + k_w) z - \omega t \right]} + \text{c.c.} \quad (\text{A6})$$

When Eq. (A6) is substituted into Eq. (A1), taking into account the usual difference of Bessel functions for a planar wiggler, and Eq. (10) for the beam profile, the source function in Eq. (1) is then given by Eq. (11).

## Appendix B: Sideband Generation

In this appendix generation of sidebands to the primary optical wave, due to the spatial modulation of the electron beam, is analyzed. It is to be emphasized that the following analysis is intended merely to show that the dispersion characteristics of the primary optical wave are only slightly modified [ $\sim (\delta N_0/N_0)^2$ ] for typical experimental parameters, as implicitly assumed in applying the results of Appendix A to the case of a modulated electron beam in Section III.

The development of the linear theory herein generalizes that of Sprangle et al.,<sup>12</sup> to which reference should be made for further details.

The form of the vector potential of a planar wiggler employed in this appendix is slightly different to that given by Eq. (12):

$$\underline{A}_w \approx A_w [\exp(ik_w z) - \text{c.c.}] \underline{e}_x,$$

where  $A_w$  is purely imaginary, and that of the linearly polarized radiation field is taken to be of the form

$$\begin{aligned} \underline{A} = & \left\{ \underline{A}_+ \exp[ik_+ z - i\omega t] + \underline{A} \exp[ik_- z - i\omega t] \right. \\ & \left. + A_0 \exp(ik z - i\omega t) + \text{c.c.} \right\} \underline{e}_x, \end{aligned}$$

where it is assumed that the electron density, modulated at the betatron wavelength  $2\pi/k_\beta$ , has the simple form

$$n_0 = N_0 + \frac{\delta N_0}{2} [\exp(ik_\beta z) + \text{c.c.}],$$

with  $k_\beta \ll k_w \ll k$ , and  $k_+ = k + k_\beta$ ,  $k_- = k - k_\beta$ .

Following Ref. 12, the wave equation is found to be

$$\left( \frac{\partial^2}{\partial z^2} - \frac{1}{c^2} \frac{\partial^2}{\partial t^2} - \frac{\omega_b^2}{\gamma_0 c^2} \right) \underline{A} = \frac{4\pi |e|^2}{\gamma_0 m_0 c^2} \delta n \underline{A}_w,$$

where  $\gamma_0$  is the relativistic factor in the absence of the radiation field,  $\omega_b = (4\pi n_0 |e|^2 / m_0)^{1/2}$ , and  $\delta n$  is the density perturbation caused by the radiation. Note that the velocity  $v_{zo}$  along the wiggler axis is not affected by the betatron oscillation and hence  $\gamma_0$ , to lowest order in  $|e A_w / \gamma_0 m_0 c^2|^2$ , is not a function of  $z$ . Defining the ponderomotive potential

$$\phi_{\text{pond}} = \frac{-|e|}{\gamma_0 m_0 c^2} \underline{A}_w \cdot \underline{A},$$

the momentum, continuity and Poisson's equations may be combined to obtain

$$\begin{aligned} \frac{d^2}{dt^2} \delta n - \frac{v_{zo}}{n_0} \left( \frac{\partial n_0}{\partial z} \right) \frac{d}{dt} \delta n + \frac{4\pi n_0 |e|^2}{m_0 \gamma_0 \gamma_z^2} \delta n + \frac{|e|}{m_0 \gamma_0 \gamma_z^2} \left( \frac{\partial n_0}{\partial z} \right) \frac{\partial \phi}{\partial z} \\ = \frac{-|e|}{m_0 \gamma_0} \frac{\partial}{\partial z} n_0 \left( \frac{\partial}{\partial z} + \frac{v_{zo}}{c^2} \frac{\partial}{\partial t} \right) \phi_{\text{pond}}, \end{aligned} \quad (\text{B1})$$

where  $\gamma_z = (1 - v_{zo}^2 / c^2)^{-1/2}$ ,  $\phi$  is the scalar potential, and terms such as  $\partial^2 n_0 / \partial z^2$ , which are on the order of  $k_\beta^2$ , have been neglected.

Writing  $k_+ = k + k_\beta$ ,  $k_- = k - k_\beta$ ,

$$\begin{aligned} \delta n = \left\{ \delta n_+ \exp \left[ i (k_+ + k_w) z - i \omega t \right] + \delta n_- \exp \left[ i (k_- + k_w) z - i \omega t \right] \right. \\ \left. + \delta n_0 \exp \left[ i (k + k_w) z - i \omega t \right] + \text{c.c.} \right\}, \end{aligned}$$

noting that, on the left-hand side of Eq. (B1), the ratio of the fourth to the third term is on the order of  $k_\beta / k \ll 1$ , one finds that

$$\begin{bmatrix} m_{11} + \varepsilon^2 a_- & \varepsilon m_{12} & m_{13} \\ \varepsilon m_{21} & m_{22} + \varepsilon^2 a_{22} & \varepsilon m_{23} \\ m_{31} & \varepsilon m_{32} & m_{33} + \varepsilon^2 a_+ \end{bmatrix} \begin{bmatrix} A_+ \\ A_0 \\ A_- \end{bmatrix} = 0,$$

where  $\varepsilon = (\delta N_o / 2N_o)$ , and  $m_{13}, m_{31} = O(\varepsilon^2)$ . It is then simple to show that, correct to  $O(\varepsilon^2)$ , the dispersion relation is given by

$$m_{22} - \left( \frac{\delta N_o}{2N_o} \right)^2 \left( \frac{m_{32}m_{23}}{m_{33}} + \frac{m_{12}m_{21}}{m_{11}} \right) + \left( \frac{\delta N_o}{2N_o} \right)^2 \left[ a_{22} + m_{22} \left( \frac{a_+}{m_{33}} + \frac{a_-}{m_{11}} \right) \right] = 0,$$

where

$$m_{22} = m_{22}(k) \equiv \left\{ \left[ \omega - (k + k_w) v_{zo} \right]^2 - \frac{\omega_{bo}^2}{\gamma_o \gamma_z^2} \right\} \left( k^2 - \frac{\omega^2}{c^2} + \frac{\omega_{bo}^2}{\gamma_o c^2} \right) - \frac{2\omega_{bo}^2}{\gamma_o^3} k k_w a_w^2,$$

is the usual matrix element for the primary wave,  $m_{11} = m_{22}(k_+)$ ,

$$m_{33} = m_{22}(k_-),$$

$$m_{12} = m_{12}(k_+, k, k_\beta)$$

$$\begin{aligned} & \equiv \frac{\omega_{bo}^2}{\gamma_o c^2} \left\{ \left[ \omega - (k_+ + k_w) v_{zo} \right]^2 - \frac{\omega_{bo}^2}{\gamma_o \gamma_z^2} \right\} \\ & + \left\{ k_\beta v_{zo} \left[ \omega - (k + k_w) v_{zo} \right] - \frac{\omega_{bo}^2}{\gamma_o \gamma_z^2} \right\} \\ & \cdot \left( k^2 - \frac{\omega^2}{c^2} + \frac{\omega_{bo}^2}{\gamma_o c^2} \right) - \frac{2\omega_{bo}^2}{\gamma_o^3} k_+ k_w a_w^2, \end{aligned}$$

$$m_{21} = m_{12}(k, k_+, -k_\beta), \quad m_{23} = m_{12}(k, k_-, k_\beta), \quad m_{32} = m_{12}(k_-, k, -k_\beta),$$

$$a_{22} = -\frac{2\omega_{bo}^4}{\gamma_o^2 \gamma_z^2 c^2} + \frac{2\omega_{bo}^2 k_\beta^2 v_{zo}^2}{\gamma_o c^2},$$

$$a_{\pm} = \frac{\omega_{bo}^2}{\gamma_o c^2} \left\{ k_\beta v_{zo} \left[ \omega - (k + k_w) v_{zo} \right] \mp \frac{\omega_{bo}^2}{\gamma_o \gamma_z^2} \right\},$$

and  $\omega_{bo} = (4\pi e^2 N_o / m_o)^{1/2}$ . Note that with the definition chosen for  $A_w$  in this appendix,  $a_w^2 = (eA_w / m_o c^2)^2 < 0$ .

To proceed along the lines of Ref. 12, it is convenient to write

$$m_{22} = M_{22} + C_{22},$$

where

$$M_{22} = \left\{ \left[ \omega - (k + k_w) v_{zo} \right]^2 - \frac{\omega_{bo}^2}{\gamma_o \gamma_z^2} \right\} \left( k^2 - \frac{\omega^2}{c^2} + \frac{\omega_{bo}^2}{\gamma_o c^2} \right),$$

and

$$C_{22} = -\frac{2\omega_{bo}^2}{\gamma_o^3} k k_w a_w^2$$

is the "coupling" term. The dispersion relation then becomes

$$\begin{aligned} \left[ 1 + \left( \frac{\delta N_o}{2N_o} \right)^2 \left( \frac{a_+}{m_{33}} + \frac{a_-}{m_{11}} \right) \right] M_{22} &= - \left[ 1 + \left( \frac{\delta N_o}{2N_o} \right)^2 \left( \frac{a_+}{m_{33}} + \frac{a_-}{m_{11}} \right) \right] C_{22} \\ &+ \left( \frac{\delta N_o}{2N_o} \right)^2 \left( \frac{m_{12} m_{21}}{m_{11}} + \frac{m_{32} m_{23}}{m_{33}} - a_{22} \right). \end{aligned} \quad (B2)$$



$M_{22}$  yields the dispersion relation for uncoupled electromagnetic and space charge waves. The right-hand side of Eq. (B2) introduces the FEL interaction and coupling to sidebands, and its effect is included iteratively. At the lowest order,  $M_{22} = 0$  for some  $(\omega, k)$ . Substituting in the right-hand side, the second set of terms vanishes; the term proportional to  $C_{22}$  survives.

Substantial modification of this dispersion relation is expected if

$$1 + \left( \frac{\delta N_o}{2N_o} \right)^2 \left( \frac{a_+}{m_{33}} + \frac{a_-}{m_{11}} \right) \ll 1$$

i.e., if

$$\frac{\delta N_o}{N_o} \sim 2 k_{\beta} c \omega_{bo}^{-3/2} \left( 2k v_{zo} \right)^{1/2} \gamma_z^{1/2} \gamma_o^{3/4}.$$

For typical experimental parameters, the right-hand side of this equation exceeds unity, whereas  $\delta N_o/N_o \ll 1$ , implying the insignificance of the effect of modulation on the dispersion relation.

## Appendix C: Stability Analysis

The purpose of this appendix is to establish the stability of the fixed point  $(r_s, \alpha)$  of Eqs. (14).

Perturbing Eqs. (14a) and (14b) about the fixed point and making use of Eq. (19), it is seen that the perturbation evolves according to:

$$\frac{d}{d(k_w z)} \begin{pmatrix} \delta\alpha \\ \delta x \end{pmatrix} = 2 \begin{pmatrix} a_{11} & a_{12} \\ a_{21} & a_{22} \end{pmatrix} \begin{pmatrix} \delta\alpha \\ \delta x \end{pmatrix},$$

where  $x = (k_w r_s)^2$ ,  $y = (k_w r_b)^2$ ,

$$a_{11} = \frac{-\alpha(ck_w/\omega)}{x+y} + x_I + \frac{\partial}{\partial\alpha} (x_R - \alpha x_I),$$

$$a_{12} = \frac{-(1+\alpha^2)(ck_w/\omega)y(2x+y)}{x^2(x+y)^2} + \frac{\partial}{\partial x} (x_R - \alpha x_I),$$

$$a_{21} = \frac{x x_I}{\alpha} - x \frac{\partial}{\partial\alpha} x_I,$$

$$a_{22} = -\frac{\alpha(ck_w/\omega)}{(x+y)^2} - \frac{\partial}{\partial x} (x x_I),$$

and

$$X = -\frac{1}{2} \left[ \frac{\eta}{2(1+\alpha^2)} \right]^{1/2} \frac{\alpha^{-i} \left[ 1 + (1+\alpha^2)^{1/2} \right]}{\left[ 1 + (1+\alpha^2)^{1/2} \right]^{1/2}} \frac{x}{x+2y} \left( \frac{xy}{x+y} \right)^{1/2}. \quad (C1)$$

Assuming that  $\delta\alpha, \delta x \sim \exp(\lambda k_w z)$ , one finds that

$$\lambda = - \left[ \frac{\alpha(ck_w/\omega)(x+2y)}{(x+y)^2} + S_2 + S_1 \right] \pm \left\{ \left[ \frac{-\alpha(ck_w/\omega)x}{(x+y)^2} + S_2 - S_1 \right]^2 - S_3 \right\}^{1/2},$$

where

$$S_1 = - \frac{\partial X_R}{\partial \alpha} + \alpha \frac{\partial X_I}{\partial \alpha},$$

$$S_2 = \frac{\partial}{\partial x} (x X_I),$$

$$S_3 = - 4x \left( \frac{X_I}{\alpha} - \frac{\partial X_I}{\partial \alpha} \right) \left[ \frac{-(1+\alpha^2) (ck_w/\omega) y(y+2x)}{x^2(x+y)^2} + \frac{\partial}{\partial x} (X_R - \alpha X_I) \right].$$

(Note that all the variables in this appendix are evaluated at the fixed point.) Making use of Eq. (C1) it is simple to show that  $X_I/\alpha - \partial X_I/\partial \alpha > 0$ ,  $\partial(X_R - \alpha X_I)/\partial x < 0$ , whence  $S_3 > 0$  and hence, noting that  $S_2 + S_1 > 0$ , and that the perturbation solution for Eq. (18) implies  $S_1 < \alpha(ck_w/\omega)/(x+y)$ , one finds that  $\text{Re } \lambda < 0$ , thus indicating the stability of the fixed point to small amplitude perturbations.

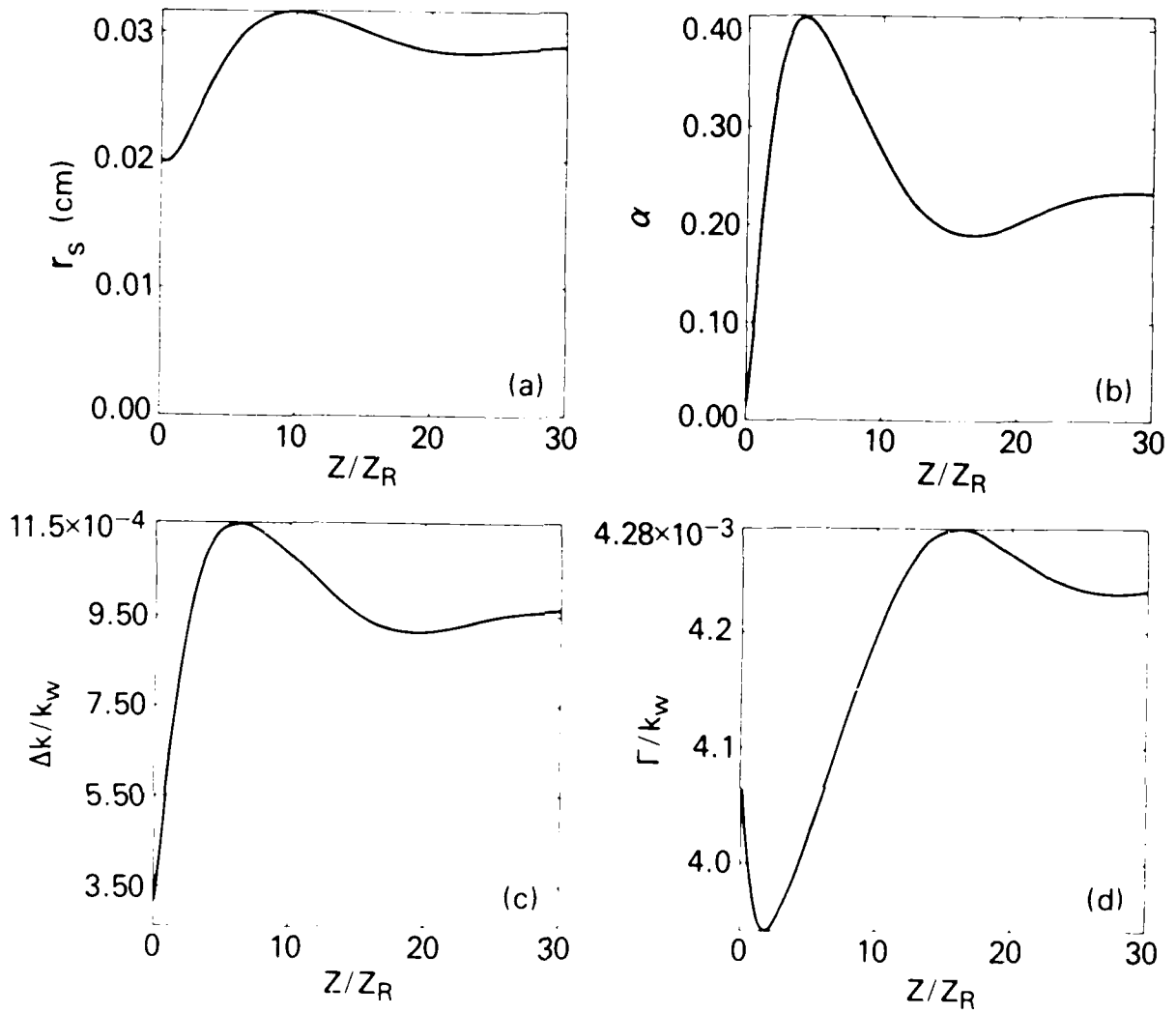


Fig. 1. Spot size ( $r_s$ ),  $\alpha$ , phase shift ( $\Delta k$ ), and gain ( $\Gamma$ ) vs. distance along the wiggler.  $z$  is normalized to the Rayleigh range  $z_R$ .

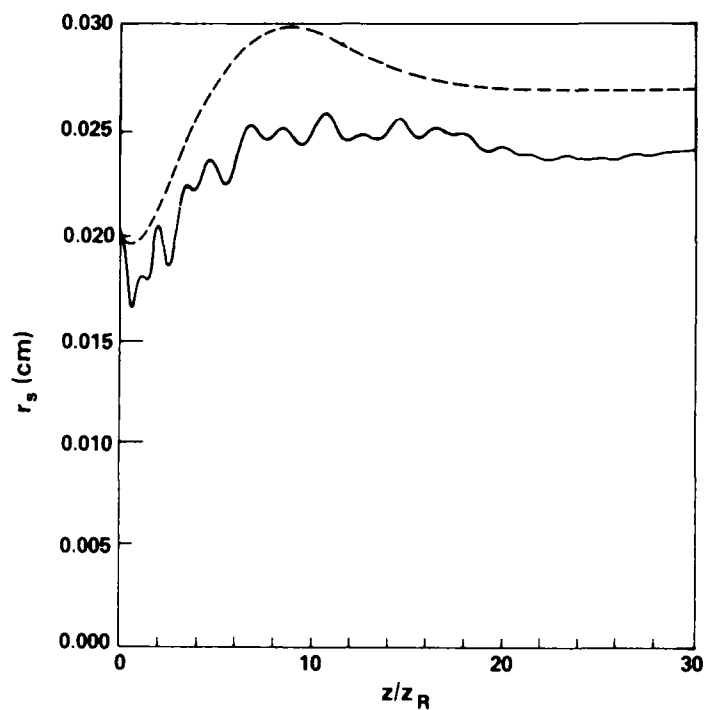


Fig. 2.  $(1/e)$ -width of the optical field vs. distance along the wiggler.

Solid curve: 5 mode system; dashed curve: 1 mode system.

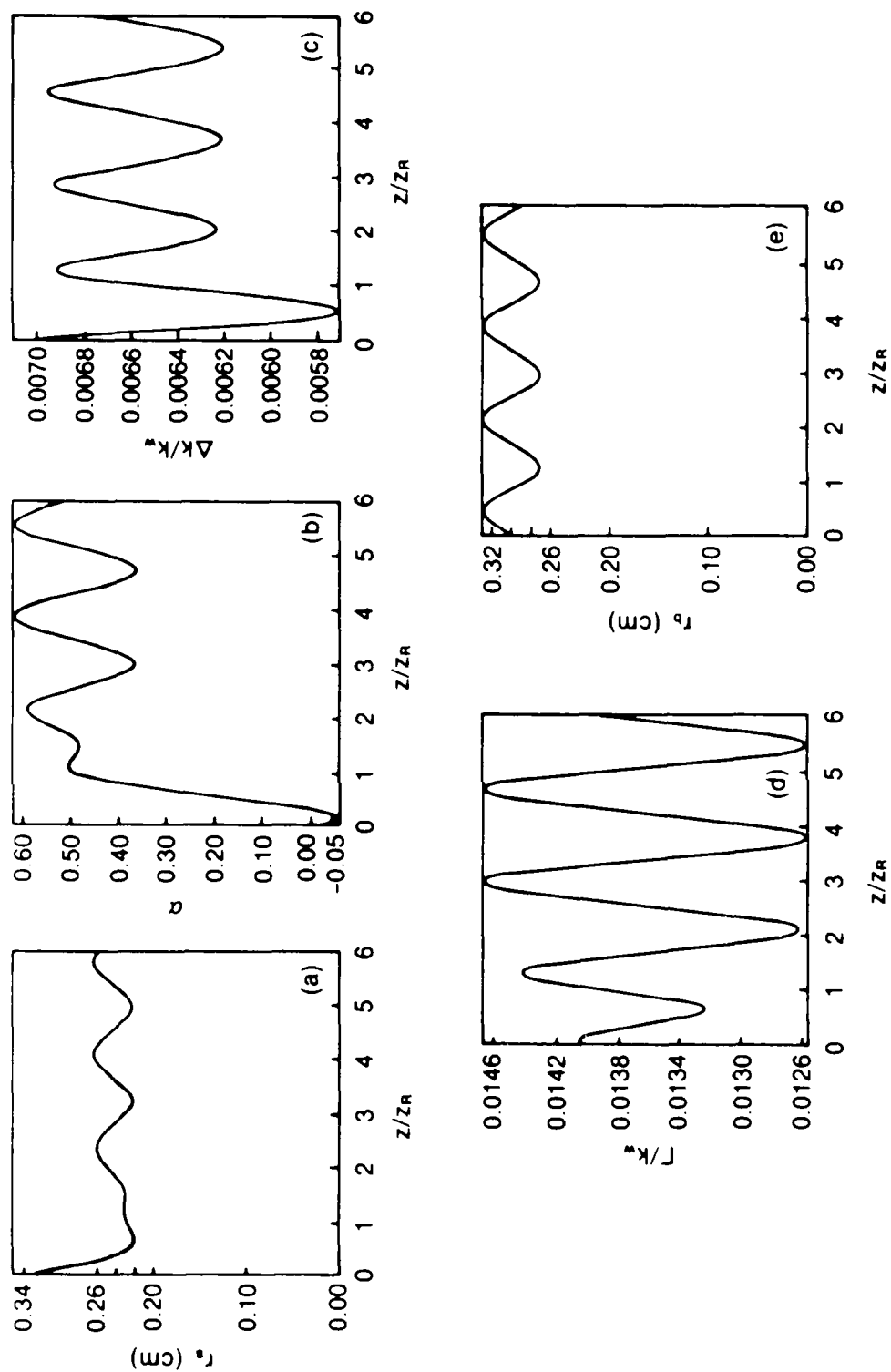


Fig. 3. Spot size ( $r_s$ ),  $\alpha$ , phase shift ( $\Delta k$ ), gain ( $\Gamma$ ), and radius of electron beam ( $r_b$ ) vs. distance along wiggler.

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National Synchrotron Light Source  
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Quantum Inst. and Dept. of Physics  
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The Inst. for Accelerator Physics  
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DARPA  
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One Space Park  
Redondo Beach, CA 90278

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Code L-321, P.O. Box 808  
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Lawrence Livermore National Laboratory  
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Livermore, CA 94550

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MSJ 564  
Los Alamos National Scientific Lab.  
P.O. Box 1662  
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Hughes Research Laboratory  
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Dr. Robert B. Palmer  
Brookhaven National Laboratories  
Associated Universities, Inc.  
Upton, L.I., NY 11973

Dr. J. Palmer  
Hughes Research Laboratory  
Malibu, CA 90265

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Stanford, CA 94305

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Astronomy Department  
University of Maryland  
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GA Technologies  
P.O. Box 85608  
San Diego, Ca 92138

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Mission Research Laboratory  
5503 Cherokee Avenue  
Alexandria, VA

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Bell Laboratories  
Murray Hill, NJ 07974

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AVCO Everett Research Lab., Inc.  
2385 Revere Beach Parkway  
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Brookhaven National Laboratory  
Associated Universities, Inc.  
Upton, L.I., NY 11973

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Mission Research Corporation  
5503 Cherokee Avenue  
Alexandria, VA 22312

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Lawrence Berkeley Laboratory  
University of California, Berkeley  
Berkeley, CA 94720

Dr. M. Piestrup  
Adelphi Technology  
13800 Skyline Blvd. No. 2  
Woodside, CA 94062 CA 94305

Dr. Alan Pike  
DARPA  
1400 Wilson Boulevard  
Arlington, VA 22209

Dr. Hersch Pilloff  
Code 421  
Office of Naval Research  
Arlington, VA 22217

Dr. A. L. Pindroh  
Spectra Technology  
2755 Northup Way  
Bellevue, WA 98004

Dr. D. J. Pistoresi  
Boeing Aerospace Company  
P. O. Box 3999  
Seattle, WA 98124-2499

Dr. Peter Politzer  
General Atomic Tech., Rm. 13/260  
P. O. Box 85608  
San Diego, CA 92138

Dr. S. E. Poor  
Lawrence Livermore National Laboratory  
P. O. Box 808  
Livermore, CA 94550

Prof. M. Porkolab  
NW 36-213  
Mass. Institute of Technology  
Cambridge, MA 02139

Dr. R. V. Pound  
Physics Department  
Harvard University  
Cambridge, MA 02138

Mr. J. E. Powell  
Sandia National Laboratories  
ORG. 1231, P.O. Box 5800  
Albuquerque, NM 87185

Dr. Mark A. Prelas  
Nuclear Engineering  
Univ. of Missouri-Columbia  
1033 Engineering  
Columbia, Missouri 65211

Dr. Donald Prosnitz  
Lawrence Livermore National Lab.  
Attn: L-470  
P. O. Box 808  
Livermore, CA 94550

Dr. D. C. Quimby  
Spectra Technology  
2755 Northup Way  
Bellevue, WA 98004

Dr. Paul Rabinowitz  
Xerox Research and Eng. Comp.  
P. O. Box 45  
Linden, NJ 07036

Dr. G. Ramian  
Quantum Institute  
University of California  
Santa Barbara, CA 93106

Dr. L. Ranjun  
Dept. of Physics  
University of Cal. at Irvine  
Irvine, CA 92717

Dr. L. L. Reginato  
Lawrence Livermore National Laboratory  
P. O. Box 808  
Livermore, CA 94550

Dr. M. B. Reid  
Dept. of Electrical Engineering  
Stanford University  
Stanford, CA 94305

Dr. D. A. Reilly  
AVCO Everett Research Lab.  
Everett, MA 02149

Dr. James P. Reilly  
W. J. Schafer Associates, Inc.  
10 Lakeside Office Park  
Wakefield, MA 01880

Dr. M. Reiser  
University of Maryland  
Department of Physics  
College Park, MD 20742

Dr. Bruce A. Richman  
High Energy Physics Lab.  
Stanford University  
Stanford, CA 94305

Dr. S. Ride  
Johnson Space Center  
Houston, TX 77058

Dr. C. W. Roberson  
Code 412  
Office of Naval Research  
800 N. Quincy Street  
Arlington, VA 22217

Dr. B. Robinson  
Boeing Aerospace Company  
P.O. Box 3999  
Seattle, WA 98124

Dr. K. Robinson  
Spectra Technology  
2755 Northup Way  
Bellevue, WA 98004

Dr. D. Rogers  
Lawrence Livermore National Laboratory  
P. O. Box 808  
Livermore, CA 94550

Dr. H. Romero  
ECE Department  
University of Wisconsin  
Madison, WI 53706

Dr. Jake Romero  
Boeing Aerospace Company  
P. O. Box 3999  
Seattle, WA 98124-2499

Dr. T. Romesser  
TRW, Inc.  
One Space Park  
Redondo Beach, Ca 90278

Dr. Marshall N. Rosenbluth  
Institute for Fusion Studies  
The Univ. of Texas at Austin  
Austin, TX 78712

Dr. J. B. Rosenzweig  
The Inst. for Accelerator Physics  
Department of Physics  
University of Wisconsin-Madison  
Madison, WI 53706

Dr. J. Ross  
Spectra Technology  
2755 Northup Way  
Bellevue, WA 98004

Dr. N. Rostoker  
University of California  
Department of Physics  
Irvine, CA 92717

Dr. G. A. Saenz  
Hughes Research Laboratory  
3011 Malibu Canyon Road  
Malibu, CA 90265

Dr. Antonio Sanchez  
Lincoln Laboratory  
Mass. Institute of Tech.  
Room B213  
P. O. Box 73  
Lexington, MA 02173

Dr. Aldric Saucier  
BMD-PO  
Ballistic Missile Defense  
Program Office  
P. O. Box 15280  
Arlington, VA 22215

Dr. A. Saxman  
Los Alamos National Scientific Lab.  
P. O. Box 1663, MSE523  
Los Alamos, NM 87545

Dr. J. Scharer  
ECE Dept.  
Univ. of Wisconsin  
Madison, WI 53706

Dr. E. T. Scharlesmann  
L626  
Lawrence Livermore National Laboratory  
P. O. Box 808  
Livermore, CA 94550

Prof. S. P. Schlesinger  
Dept. of Electrical Engineering  
Columbia University  
New York, NY 10027

Dr. Howard Schlossberg  
AFOSR  
Bolling AFB  
Washington, D.C. 20332

Dr. George Schmidt  
Stevens Institute of Technology  
Physics Department  
Hoboken, NJ 07030

Dr. M. J. Schmitt  
Los Alamos National Laboratory  
P. O. Box 1663  
Los Alamos, NM 87545

Dr. Stanley Schneider  
Rotodyne Corporation  
26628 Fond Du Lac Road  
Palos Verdes Peninsula, CA 90274

Dr. N. Schoen  
TRW DSSG  
One Space Park  
Redondo Beach, CA 90278

Dr. M. L. Scott  
Los Alamos National Laboratory  
P. O. Box 1663  
Los Alamos, NM 87545

Dr. Richard L. Schriever (DP-23)  
Director, Office of Inertial Fusion  
U. S. Department of Energy  
Washington, D.C. 20545

Dr. R. W. Schumacher  
Hughes Research Laboratories  
3011 Malibu Canyon Road  
Malibu, CA 09265

Dr. H. Schwettmann  
Phys. Dept. & High Energy  
Physics Laboratory  
Stanford University  
Stanford, CA 94305

Dr. Marlan O. Scully  
Dept. of Physics & Astronomy  
Univ. of New Mexico  
800 Yale Blvd. NE  
Albuquerque, NM 87131

Dr. S. B. Segall  
KMS Fusion  
3941 Research Park Dr.  
P.O. Box 1567  
Ann Arbor, MI 48106

Dr. Robert Sepucha  
DARPA  
1400 Wilson Boulevard  
Arlington, VA 22209

Prof. P. Serafim  
Northeastern University  
Boston, MA 02115

Dr. A. M. Sessler  
Lawrence Berkeley Laboratory  
University of California  
1 Cyclotron Road  
Berkeley, CA 94720

Dr. W. Sharp  
L 626  
Lawrence Livermore National Laboratory  
P. O. Box 808  
Livermore, CA 94550

Dr. Earl D. Shaw  
Bell Laboratories  
600 Mountain Avenue  
Murray Hill, NJ 07974

Dr. J. P. Sheerim  
KMS Fusion  
P.O. Box 1567  
Ann Arbor, MI 48106

Dr. R. Shefer  
Science Research Laboratory  
15 Ward Street  
Somerville, MA 02143

Dr. R. L. Sheffield  
Los Alamos National Laboratory  
P.O. Box 1663  
Los Alamos, NM 87545

Dr. Shemwall  
Spectra Technology  
2755 Northup Way  
Bellevue, WA 98004

Dr. Shen Shey  
DARPA/DEO  
1400 Wilson Boulevard  
Arlington, VA 22209

Dr. Chun-Ching Shih  
TRW, Building R-1  
One Space Park  
Redondo Beach, CA 90278

Dr. D. Shoffstall  
Boeing Aerospace Company  
P.O. Box 3999  
Seattle, WA 98124

Dr. I. Shokair  
SNLA, Org. 1271  
Albuquerque, NM 87185

Dr. J. S. Silverstein  
Harry Diamond Laboratories  
2800 Powder Mill Road.  
Adelphi, MD 20783

Dr. Jack Slater  
Spectra Technology  
2755 Northup Way  
Bellevue, WA 98004

Dr. Kenneth Smith  
Physical Dynamics, Inc.  
P.O. Box 556  
La Jolla, CA 92038

Dr. Lloyd Smith  
Lawrence Berkeley Laboratory  
University of California  
1 Cyclotron Road  
Berkeley, CA 94720

Dr. Stephen J. Smith  
JILA  
Boulder, CO 80302

Dr. T. Smith  
TRW, Inc.  
One Apac Park  
Redondo Beach, CA 90278 R1/2044

Dr. Todd Smith  
Hansen Labs  
Stanford University  
Stanford, CA 94305

Dr. Joel A. Snow, M.S. E084  
Senior Technical Advisor  
Office of Energy Research  
U. S. Department of Energy  
Washington, D.C. 20585

Dr. J. Z. Soln (22300)  
Harry Diamond Laboratories  
2800 Powder Mill Road  
Adelphi, MD 20783

Dr. G. Spalek  
Los Alamos National Laboratory  
P. O. Box 1663  
Los Alamos, NM 87545

Dr. Richard Spitzer  
Stanford Linear Accelerator Center  
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Dr. W. Stein  
Los Alamos National Laboratory  
P. O. Box 1663  
Los Alamos, NM 87545

Dr. L. Steinhauer  
STI  
2755 Northup Way  
Bellevue, WA 98004

Dr. A. Stern  
Quantum Inst. and Dept. of Physics  
University of California  
Santa Barbara, CA 93106

Dr. Efrem J. Sternbach  
Lawrence Berkeley Laboratory  
University of California, Berkeley  
Berkeley, CA 94720

Captain D. Stone  
Defense Nuclear Agency  
Washington, DC 20305

Dr. H. Strauss  
Courant Institute  
New York University  
New York, NY 10016

Dr. M. Strauss  
Department of Physics  
University of California at Irvine  
Irvine, CA 92717

Dr. W. C. Stivalley  
Iowa Laser Facility  
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Iowa City, Iowa

Dr. R. Sudan  
Cornell University  
Ithaca, NY 14850

Dr. P. W. Sumner  
Hughes Research Laboratory  
3011 Malibu Canyon Road  
Malibu, CA 90265

Dr. David F. Sutter  
ER 224, GTN  
Department of Energy  
Washington, D.C. 20545

Dr. Abraham Szoke  
ML/L-470  
Lawrence Livermore Natl. Lab.  
P.O. Box 808  
Livermore, CA 94550

Dr. R. Taber  
Dept. of Phys. & High Energy Lab.  
Stanford University  
Stanford, CA 94305

Dr. T. Tajima  
IPS  
Univ. of Texas  
Austin, TX 78712

Dr. H. Takeda  
Los Alamos National Laboratory  
P. O. Box 1663  
Los Alamos, NM 87545

Dr. J. J. Tancredi  
Hughes Aircraft Co.  
Electron Dynamics Division  
3100 West Lomita Blvd.  
Torrance, CA 90509

Dr. S. C. Tasker  
Dept. of Phys. & Res. Lab. of Electronics  
Mass. Institute of Technology  
Cambridge, MA 02139

Dr. Milan Tekula  
AVCO Everett Research Lab.  
2385 Revere Beach Parkway  
Everett, MA 02149

Dr. R. Temkin (2 copies)  
Mass. Institute of Technology  
Plasma Fusion Center  
Cambridge, MA 02139

Dr. L. Thode  
Los Alamos National Laboratory  
P. O. Box 1663  
Los Alamos, NM 87545

Dr. Keith Thomassen, L-637  
Lawrence Livermore National Laboratory  
P. O. Box 808  
Livermore, CA 94550

Dr. Harold Thompson  
TRW, Inc.  
RI/2120  
One Space Park  
Redondo Beach, Ca 90278

Dr. Norman H. Tolk  
Physics Department  
Vanderbilt University  
Nashville, TN 37240

Dr. K. Tsang  
Science Applications Intl. Corp.  
P.O. Box 2351  
La Jolla, CA 92038

Dr. E. Tyson  
Boeing Aerospace Company  
P.O. Box 3999  
Seattle, WA 98124

Dr. H. S. Uhm  
Naval Surface Weapons Center  
White Oak Lab.  
Silver Spring, MD 20903-5000

Dr. L. Ulstrup  
TRW, Inc.  
One Space Park  
Redondo Beach, Ca 90278

Under Secretary of Defense (R&E)  
Office of the Secretary of Defense  
Room 3E1006, The Pentagon  
Washington, D.C. 20301

Dr. L. Vahala  
Physics Dept.  
College of William & Mary  
Williamsburg, VA 23185

Dr. A. Valla  
Spectra Technology  
2755 Northup Way  
Bellevue, WA 98004

Dr. A. Vetter  
Boeing Aerospace Company  
P.O. Box 3999  
Seattle, WA 98124

Dr. A. A. Vetter  
Spectra Technology  
2755 Northup Way  
Bellevue, WA 98004

Dr. G. Vignola  
Brookhaven National Laboratories  
Associated Universities, Inc.  
Upton, L.I., NY 11973

Dr. S. A. Von Laven  
KMS Fusion Inc.  
Ann Arbor, MI 48106

Dr. John E. Walsh  
Vilder Laboratory  
Department of Physics (HB 6127)  
Dartmouth College  
Hanover NH 03755

Dr. W. M. Walsh, Jr.  
Bell Laboratories  
600 Mountain Avenue  
Room 1-D 332  
Murray Hill, NJ 07974

Dr. Jiunn-Ming Wang  
Brookhaven National Laboratories  
Associated Universities, Inc.  
Upton, L.I., NY 11973

Dr. Ming Chang Wang  
Lab for Plasma Fusion  
University of Maryland  
College Park, MD 20742

Dr. T-S. Wang  
Los Alamos National Laboratory  
P. O. Box 1663  
Los Alamos, NM 87545

Dr. J. F. Ward  
University of Michigan  
Ann Arbor, MI 48109

Dr. E. Warden  
Code PDE 106-3113  
Naval Electronics Systems Command  
Washington, DC 20363

Dr. Roger W. Warren  
Los Alamos National Scientific Lab.  
P.O. Box 1663  
Los Alamos, NM 87545

Dr. J. Watson  
Los Alamos National Laboratory  
P. O. Box 1663  
Los Alamos, NM 87545

Dr. B. Weber  
Harry Diamond Laboratories  
2800 Powder Mill Road  
Adelphi, MD 20783

Dr. Lee Webster  
BMD/ATC  
Box 1500  
Huntsville, AL 35807

Dr. J. T. Weir  
Lawrence Livermore National Laboratory  
P. O. Box 808  
Livermore, CA 94550

Dr. R. Whitefield  
15260 Dickens Ave.  
San Jose, CA 95124

Ms. Bettie Wilcox  
Lawrence Livermore National Lab.  
ATTN: Tech. Info. Dept. L 3  
P.O. Box 808  
Livermore, CA 94550

Dr. Mark Wilson  
National Bureau of Standards  
Bldg. 245, Rm. B-119  
Gaithersburg, MD 20899

Dr. H. Winick  
Stanford Synch Rad. Lab.  
SLAC Bin 69  
P.O. Box 44349  
Stanford, CA 94550

Dr. J. Workman  
Berkeley Research Associates  
P.O. Box 241  
Berkeley, CA 94701

Dr. Jack Wong (L-71)  
Lawrence Livermore National Lab.  
P. O. Box 808  
Livermore, CA 94550

Dr. Thomas P. Wright  
Sandia National Laboratories  
ORG. 1231, P.O. Box 5800  
Albuquerque, NM 87185

Dr. J. Wurtele  
M.I.T.  
NW 16-234  
Plasma Fusion Center  
Cambridge, MA 02139

Dr. Ming Xie  
Dept. of Physics  
Stanford University  
Stanford, CA 94305

Dr. Yi-Ton Yan  
MS-B259  
Los Alamos National Lab.  
Los Alamos, NM 87545

Dr. T. P. Yang (2 copies)  
TRW  
1 Space Park  
Redondo Beach, CA 90278

Dr. A. Yariv  
California Institute of Tech.  
Pasadena, CA 91125

Dr. F. G. Yee  
Columbia University  
New York, NY 10027

Dr. J. Yeh  
Allied Corporation  
31717 La Tienda Dr.  
Westlake Village, CA 91362

Dr. A. Yermian  
Boeing Aerospace Company  
P.O. Box 3999  
Seattle, WA 98124

Dr. Barbara Yoou  
R & D Associates  
1401 Wilson Blvd., Suite 500  
Arlington, VA 22209

Dr. Li Hua Yu  
725B, NSLS  
Brookhaven National Laboratory  
Upton, NY 11973

Dr. Simon S. Yu  
Lawrence Livermore National Laboratory  
P. O. Box 808  
Livermore, CA 94550

Dr. Mark Zedikev  
103 S. Goodwin  
Urbana, IL 61801

Dr. M. S. Zisman  
Lawrence Berkeley Laboratory  
University of California, Berkeley  
Berkeley, CA 94720

Dr. J. Zundieck  
Spectra Technology  
2755 Northup Way  
Bellevue, WA 98004

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